

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Assistant Commissioner for Patents  
**BOX PATENT APPLICATION**  
Washington, D.C. 20231

**TRANSMITTAL FOR A NEWLY EXECUTED ORIGINAL APPLICATION  
UNDER 37 C.F.R. §1.53(b)**

This is a request for filing a patent application under 37 C.F.R. §1.53(b) for:

Inventors: **Michael Dwinnell**

For: **BROADCASTING INFORMATION AND PROVIDING DATA ACCESS OVER THE  
INTERNET TO INVESTORS AND MANAGERS ON DEMAND**

1. This is a new ☒ **Utility** ☐ **Design** ☐ **Plant** patent application.
2. The papers enclosed to obtain a filing date are as follows:
  - 46 Pages of Application including:
  - 29 Pages of Disclosure
  - 8 Pages of Claims
  - 1 Page of Abstract; and
  - 8 Sheets of drawings containing 7 Figures
  - ☐ The enclosed drawing(s) are photograph(s), and there is also attached a  
PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S).
3. Declaration for Patent Application **OR** Combined Declaration and Power of Attorney
  - ☐ Enclosed and is executed by all inventors.
  - ☒ Not Enclosed.

This application is being filed under the provisions of 37 C.F.R. §1.53(f).  
Applicant(s) await notification from the Patent and Trademark Office of the time  
set for filing the Declaration and paying the filing fees.
4. Language
  - ☒ English
  - ☐ Non-English

This application is being filed in accordance with 37 C.F.R. §1.52(d) and §608.01  
of the MPEP. Applicant(s) await notification from the Patent and Trademark  
Office of the time set for filing the verified English translation and the processing fee.

5. Assignment

- ☐ An assignment of the invention to \_\_\_\_\_, and a PTO Form-1595, Recordation Form Cover Sheet, are enclosed.
- ☐ The present application is currently owned by \_\_\_\_\_, of \_\_\_\_\_.  
An assignment will be filed for recordation at a later date. Please recognize \_\_\_\_\_ as the assignee for purposes of publication.

6. Priority - foreign applications under 35 U.S.C. §119(a)-(d) or §365(b) or PCT international applications under 35 U.S.C. §365(a) designating at least one country other than the U.S.

☐ Priority of the following foreign application(s) is claimed:

| Country | Application No. | Filed |
|---------|-----------------|-------|
|         |                 |       |
|         |                 |       |

Certified copy: ☐ is attached. ☐ will follow.

7. Priority based on provisional application(s) - 35 U.S.C. §119(e)

☒ Priority of the following provisional application(s) is claimed:

| Application No. | Filed          |
|-----------------|----------------|
| 60/286,002      | April 25, 2001 |
|                 |                |

A. Relate Back - 35 U.S.C. §119(e)

- ☐ Amend the specification by inserting before the first line the sentence:  
"This application claims priority of copending provisional application(s)

8. Small entity status

☒ This application claims small entity status under 37 C.F.R. §1.27.

9. Fee Calculation (37 C.F.R. § 1.16)

| CLAIMS FOR FEE CALCULATION                               |              |              |                |  |
|--|--------------|--------------|----------------|--|
|  | Number Filed | Number Extra | at Rate of     | Basic Fee<br>Utility \$710.00<br>Design \$310.00 |
| Total Claims<br>(37 C.F.R. §1.16(c))                     | 34 - 20 =    | 14           | \$ 18.00 each= | +\$ 252.00                                       |
| Independent Claims<br>(37 C.F.R. §1.16(b))               | 3 - 3 =      | 0            | \$ 80.00 each= | + \$ 00.00                                       |
| Multiple dependent claim(s), if any (37 C.F.R. §1.16(d)) |              |              | \$ 270.00      | + 0  |
| SUB-TOTAL =  |              |              |                | +\$ 962.00                                       |
| Reduction by 1/2 for filing by a small entity            |              |              |                | -\$ 481.00                                       |
| TOTAL FILING FEE =                                       |              |              |                | \$ 481.00  |

10. Fee Payment

- ☒ Not Enclosed. **NO FEE IS BEING PAID BY CHECK OR DEPOSIT ACCOUNT AT THIS TIME.**  
This application is being filed under the provisions of 37 C.F.R. §1.53(f).  
Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the Declaration and paying the filing fees.
- ☐ Enclosed.  
A check in the amount of \$\_\_\_\_\_ representing the filing fee and the Assignment fee of \$\_\_\_\_\_ is enclosed.

11. ☒ **Except** for issue fees payable under 37 C.F.R. § 1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R. §§1.16 and 1.17 which may be required, including any required extension of time fees, or credit any overpayment to Deposit Account 50-1349. This paragraph is intended to be a **CONSTRUCTIVE PETITION FOR EXTENSION OF TIME** in accordance with 37 C.F.R. §1.136(a)(3).

12. Additional papers enclosed:

- ☐ Certificate under 35 USC 122(b)
- ☐ Combined Power of Attorney by Assignee and Certificate under 37 CFR 3.73(b)
- ☐ Change of Correspondence Address
- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement
- ☐ Form PTO- 1449, documents as listed
- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.

Please accord this application an application number and filing date.

Respectfully submitted,

**HOGAN & HARTSON LLP**

Dated: August 17, 2001

**HOGAN & HARTSON LLP**  
555 13<sup>th</sup> Street, N.W.  
Washington, D.C. 20004  
(202) 637-5703  
e-mail: [cjcrowson@hhlaw.com](mailto:cjcrowson@hhlaw.com)  
**Customer No. 24633**

By: 

Celine Jimenez Crowson  
Reg. No. 40,357